

10/09/01  
j.1052 U.S. PTO

10-10-0

PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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## UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

|                        |                           |
|------------------------|---------------------------|
| Attorney Docket No.    | SAR 14083                 |
| First Inventor         | Yang                      |
| Title                  | Integrated Optical Switch |
| Express Mail Label No. | ET490742628US             |

### APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2.  Applicant claims small entity status.  
See 37 CFR 1.27.
3.  Specification [Total Pages 14]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4.  Drawing(s) (35 U.S.C. 113) [ Total Sheets 5 ]
5. Oath or Declaration [ Total Pages 3 ]
  - a.  Newly executed (original or copy)
  - b.  Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
    - i.  **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6.  Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7.  CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a.  Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i.  CD-ROM or CD-R (2 copies); or
    - ii.  paper
  - c.  Statements verifying identity of above copies

### ACCOMPANYING APPLICATION PARTS

9.  Assignment Papers (cover sheet & document(s))
10.  37 CFR 3.73(b) Statement  Power of (when there is an assignee) Attorney
11.  English Translation Document (if applicable)
12.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations
13.  Preliminary Amendment
14.  Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15.  Certified Copy of Priority Document(s) (if foreign priority is claimed)
16.  Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17.  Other: Second Postcard

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation  Divisional  Continuation-in-part (CIP)

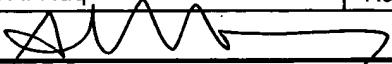
of prior application No. \_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_

Group Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

### 19. CORRESPONDENCE ADDRESS

|   |   |          |   |
|---|---|----------|---|
| <input checked="" type="checkbox"/> Customer Number or Bar Code Label | 26345<br>(Insert Customer No. or Attach bar code label here)                        |          | <input type="checkbox"/> or <input type="checkbox"/> Correspondence address below |
| Name  |   |          |   |
| Address   |   |          |   |
| City  | State   | Zip Code |   |
| Country   | Telephone   | Fax      |   |
| Name (Print/Type)   | Abhik A. Huq  |          | Registration No. (Attorney/Agent) 40,656  |
| Signature   |  |          | Date 9/28/01  |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 910.00)

## Complete if Known

|                      |           |
|----------------------|-----------|
| Application Number   | TBA       |
| Filing Date          |           |
| First Named Inventor | Yang      |
| Examiner Name        | TBA       |
| Group Art Unit       | TBA       |
| Attorney Docket No.  | SAR 14083 |

## METHOD OF PAYMENT

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **04-0203**  
Deposit Account Name **Sarnoff Corporation**

Charge Any Additional Fee Required  
Under 37 CFR 1.16 and 1.17

Applicant claims small entity status.  
See 37 CFR 1.27

2.  Payment Enclosed:

Check  Credit card  Money Order  Other

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee | Fee    | Fee | Fee Description  | Fee Paid |
|----------------------------|----------------------------|-----|--------|-----|--|----------|
| 105                        | 130                        | 205 | 65     |     | Surcharge - late filing fee or oath  |          |
| 127                        | 50                         | 227 | 25     |     | Surcharge - late provisional filing fee or cover sheet                     |          |
| 139                        | 130                        | 139 | 130    |     | Non-English specification  |          |
| 147                        | 2,520                      | 147 | 2,520  |     | For filing a request for ex parte reexamination                            |          |
| 112                        | 920*                       | 112 | 920*   |     | Requesting publication of SIR prior to Examiner action                     |          |
| 113                        | 1,840*                     | 113 | 1,840* |     | Requesting publication of SIR after Examiner action                        |          |
| 115                        | 110                        | 215 | 55     |     | Extension for reply within first month                                     |          |
| 116                        | 390                        | 216 | 195    |     | Extension for reply within second month                                    |          |
| 117                        | 890                        | 217 | 445    |     | Extension for reply within third month                                     |          |
| 118                        | 1,390                      | 218 | 695    |     | Extension for reply within fourth month                                    |          |
| 128                        | 1,890                      | 228 | 945    |     | Extension for reply within fifth month                                     |          |
| 119                        | 310                        | 219 | 155    |     | Notice of Appeal   |          |
| 120                        | 310                        | 220 | 155    |     | Filing a brief in support of an appeal                                     |          |
| 121                        | 270                        | 221 | 135    |     | Request for oral hearing   |          |
| 138                        | 1,510                      | 138 | 1,510  |     | Petition to institute a public use proceeding                              |          |
| 140                        | 110                        | 240 | 55     |     | Petition to revive - unavoidable   |          |
| 141                        | 1,240                      | 241 | 620    |     | Petition to revive - unintentional   |          |
| 142                        | 1,240                      | 242 | 620    |     | Utility issue fee (or reissue)   |          |
| 143                        | 440                        | 243 | 220    |     | Design issue fee   |          |
| 144                        | 600                        | 244 | 300    |     | Plant issue fee  |          |
| 122                        | 130                        | 122 | 130    |     | Petitions to the Commissioner  |          |
| 123                        | 50                         | 123 | 50     |     | Petitions related to provisional applications                              |          |
| 126                        | 240                        | 126 | 240    |     | Submission of Information Disclosure Stmt                                  |          |
| 581                        | 40                         | 581 | 40     |     | Recording each patent assignment per property (times number of properties) | 40.00    |
| 146                        | 710                        | 246 | 355    |     | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149                        | 710                        | 249 | 355    |     | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 179                        | 710                        | 279 | 355    |     | Request for Continued Examination (RCE)                                    |          |
| 169                        | 900                        | 169 | 900    |     | Request for expedited examination of a design application                  |          |

Other fee (specify) \_\_\_\_\_

Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 40.00)

\*or number previously paid, if greater; For Reissues, see above

## SUBMITTED BY

|                   |              |                                   |        |                          |
|-------------------|--------------|-----------------------------------|--------|--------------------------|
| Name (Print/Type) | Abhik A. Huq | Registration No. (Attorney/Agent) | 40,656 | Complete (if applicable) |
| Signature         | Date 9/28/01 |                                   |        |                          |

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

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**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Applicant(s): Yang, Liyou

Docket No.

SAR 14083

|                                      |                         |                           |                                 |
|--------------------------------------|-------------------------|---------------------------|---------------------------------|
| Serial No.<br>Not Yet Known          | Filing Date<br>Herewith | Examiner<br>Not Yet Known | Group Art Unit<br>Not Yet Known |
| Invention: INTEGRATED OPTICAL SWITCH |                         |                           |                                 |

I hereby certify that this **U.S. PATENT APPLICATION**  
(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under  
37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

10-9-01

(Date)

*Rose Macauley*

(Typed or Printed Name of Person Mailing Correspondence)

*Rose Macauley*

(Signature of Person Mailing Correspondence)

ET 490742628 US

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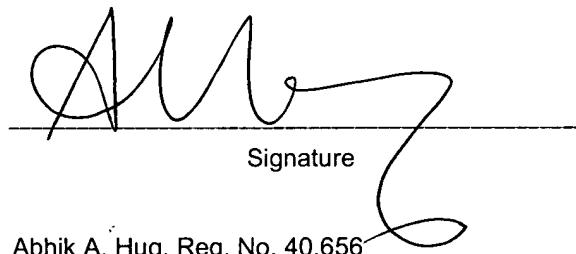
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**REQUEST AND CERTIFICATION  
UNDER  
35 U.S.C. 122(b)(2)(B)(i)**

|                      |                           |
|----------------------|---------------------------|
| First Named Inventor | Yang                      |
| Title                | Integrated Optical Switch |
| Atty Docket Number   | SAR 14083                 |

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

9/28/07  
Date



Signature

Abhik A. Huq, Reg. No. 40,656

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**